

TRANSMITTAL FORM

Attorney Docket No.

CC503326-003/1968NP

\$3621

In re the application of **Christian S. COLLBERG, et al.**

Confirmation No: **7812**

Serial No: **09/719,399**

Group Art Unit: **3621**

Filed: **March 5, 2001**

Examiner: **Winter, John M.**

For: **SOFTWARE WATERMARKING TECHNIQUES**

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**GROUP 3600**

| ENCLOSURES (check all that apply)   |                                     |   |  |                                     |   |
|-------------------------------------|-------------------------------------|---|--|-------------------------------------|---|
| <input type="checkbox"/>            | Amendment/Reply                     | <input type="checkbox"/>  | Assignment and Recordation Cover Sheet           | <input type="checkbox"/>            | After Allowance Communication to Group                            |
| <input type="checkbox"/>            | After Final                         | <input type="checkbox"/>  | Part B-Issue Fee Transmittal                     | <input type="checkbox"/>            | Appeal Communication to Board of Appeals and Interferences        |
| <input checked="" type="checkbox"/> | Information disclosure statement    | <input type="checkbox"/>  | Letter to Draftsman                              | <input type="checkbox"/>            | Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) |
| <input type="checkbox"/>            | Form 1449                           | <input type="checkbox"/>  | Drawings   | <input type="checkbox"/>            | Status Letter   |
| <input type="checkbox"/>            | Copies of References                | <input type="checkbox"/>  | Petition   | <input checked="" type="checkbox"/> | Postcard  |
| <input type="checkbox"/>            | Extension of Time Request *         | <input type="checkbox"/>  | Fee Address Indication Form                      | <input type="checkbox"/>            | Other Enclosure(s) (please identify below):                       |
| <input type="checkbox"/>            | Express Abandonment                 | <input type="checkbox"/>  | Terminal Disclaimer                              |                                     |   |
| <input type="checkbox"/>            | Certified Copy of Priority Doc      | <input type="checkbox"/>  | Power of Attorney and Revocation of Prior Powers |                                     |   |
| <input type="checkbox"/>            | Response to Incomplete Appln        | <input type="checkbox"/>  | Change of Correspondence Address                 |                                     |   |
| <input type="checkbox"/>            | Response to Missing Parts           | *Extension of Term: Pursuant to 37 CFR 1.136, Applicant petitions the Commissioner to extend the time for response for xxxxxx month(s), from to . |  |                                     |   |
| <input type="checkbox"/>            | Executed Declaration by Inventor(s) |   |  |                                     |   |

| CLAIMS             |                                  |   |              |            |         |
|--------------------|----------------------------------|---|--------------|------------|---------|
| FOR                | Claims Remaining After Amendment | Highest # of Claims Previously Paid For | Extra Claims | RATE       | FEE     |
| Total Claims       | 0                                | 0                                       | 0            | \$18.00    | \$ 0.00 |
| Independent Claims | 0                                | 0                                       | 0            | \$86.00    | \$ 0.00 |
|                    |                                  |   |              | Total Fees | \$ 0.00 |

| METHOD OF PAYMENT                   |   |
|-------------------------------------|---|
| <input checked="" type="checkbox"/> | Check no. <u>7003</u> in the amount of \$ <u>180.00</u> is enclosed for payment of IDS submission fee.            |
| <input type="checkbox"/>            | Charge \$ _____ to Deposit Account No. _____ (Account Holder Name) for payment of fees.                           |
| <input checked="" type="checkbox"/> | Charge any additional fees or credit any overpayment to Deposit Account No. <u>02-2120</u> (Sawyer Law Group LLP) |

| SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT |  |
|--|--|
| Attorney Name                              | Joseph A. Sawyer, Jr., Reg. No. 30,801 |
| Signature                                  |  |
| Date                                       | February 4, 2004                       |

| CERTIFICATE OF MAILING  |              |
|---|--------------|
| I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on this date: February 4, 2004 |              |
| Type or printed name  | Grace Alicea |
| Signature   |              |



*Handwritten initials*

CERTIFICATE OF MAIL

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mail in an envelope addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on **February 4, 2004**.

Grace Alcea

*Handwritten signature: Grace Alcea*

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of:

Date: February 4, 2004

Christian S. COLLBERG, et al.

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Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

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INFORMATION DISCLOSURE  
STATEMENT UNDER 37 C.F.R. §1.97

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**GROUP 3600**

Sir:

Pursuant to 37 C.F.R. §1.97 and §1.98, Applicants submit for consideration in the above-identified application the documents listed on the attached Form PTO-1449. The Examiner is requested to make these documents of record. This Information Disclosure Statement is being submitted:

- ☒ With copies.
- ☐ Without copies. Copies of the documents were previously submitted in an Information Disclosure Statement and/or Office Action, directed to the related application Serial No. \*\*, filed \*\*. This protocol conforms with 37 C.F.R. §1.98(d) and M.P.E.P. 609 (A)(2).
- ☐ This Information Disclosure Statement is being submitted with only copies of non-U.S. patent publication(s) and non-patent literature. This protocol conforms with 37 CFR 1.98(a)(2)(i), which waives the requirement for submitting a copy of each cited U.S. Patent and each U.S. patent application publication for all U.S. national patent applications filed after June 30, 2003.
- ☐ The documents listed on the attached Form PTO-1449 were cited in a Search Report directed to a counterpart international or foreign application.

02/EC/2004 NROCHA1 00000009 09719399.00 OP

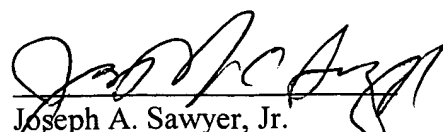
- ☐ With the application; accordingly, no fee or separate requirements are required.
- ☐ Within three months of the application filing date, or before mailing of a first Office Action on the merits.
- ☐ Before the mailing of a first Office action after the filing of a request for continued examination under §1.114.
- ☒ After receipt of a first Office Action on the merits, but before the mailing date of a Final Office Action under §1.113, or a Notice of Allowance §1.311. Accompanied by one of:
  - ☐ Certification under 37 CFR §1.97(e); or
  - ☒ The fee set forth in §1.17(p)
- ☐ After mailing of a final Office Action or Notice of Allowance, but on or before payment of the issue fee. Accompanied by:
  - ☐ Certification under 37 CFR §1.97(e); and
  - ☐ The fee set forth in §1.17(p)
- ☐ A Certification under 37 C.F.R. §1.97(e) is provided below:
  - ☐ I hereby certify that each item of information was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.
  - or-
  - ☐ I hereby certify that no item of information was cited in a communication from a foreign patent office in a counterpart foreign application or, to the best of my knowledge after making a reasonable inquiry, was known to any individual designated in 37 C.F.R. §1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

Applicants would appreciate the Examiner initialing and returning the Form PTO-1449, indicating that the information has been considered and made of record herein.

If any unresolved issues remain, please contact Applicant's attorney at the telephone number indicated below. The Commissioner is hereby authorized to charge any fees associated with this communication, or credit any overpayment, to Deposit Account No. 02-2120 (Sawyer Law Group LLP).

Respectfully submitted,

February 4, 2004  
Date

  
Joseph A. Sawyer, Jr.  
Attorney for Applicant(s)  
Reg. No. 30,801  
(650) 493-4540

FORM PTO-1449 (Modified)

LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANT'S INFORMATION  
DISCLOSURE STATEMENT

(Use several sheets if necessary)

ATTY. DOCKET NO.  
CC503326-003/1968NPSERIAL NO.  
09/719,399**RECEIVED**

FEB 13 2004

APPLICANT:

Christian S. COLLBERG, et al.

**GROUP 3600**

FILING DATE:

March 5, 2001

GROUP:

3621

## REFERENCE DESIGNATION

## U.S. PATENT DOCUMENTS

| EXAMINER<br>INITIALS | DOCUMENT<br>NUMBER | DATE     | NAME            | CLASS | SUBCLASS | FILING DATE<br>(IF APPRO.) |
|----------------------|--------------------|----------|-----------------|-------|----------|----------------------------|
|                      | 5 5 5 9 8 8 4      | 09-24-96 | Davidson et al. |       |          |                            |
|                      | 5 2 8 7 4 0 7      | 02-15-94 | Holmes          |       |          |                            |
|                      | 5 2 8 7 4 0 8      | 02-15-94 | Samson          |       |          |                            |

## FOREIGN PATENT DOCUMENTS

| DOCUMENT<br>NUMBER | DATE | COUNTRY | CLASS | SUBCLASS | Translation |
|--------------------|------|---------|-------|----------|-------------|
|                    |      |         |       |          |             |

## OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

|  |                                     |  |
|--|-------------------------------------|--|
|  | <input checked="" type="checkbox"/> | Derrick Grover, "Program Identification", The Protection of Computer Software—Its Technology and Applications, British Computer Society Monographs In Informatics, Cambridge University Press, 2 <sup>nd</sup> Edition 1992, pp.122-154  |
|  | <input checked="" type="checkbox"/> | Tomas Sander, Christian F. Tschudin, "On Software Protection via Function Hiding", Information Hiding, 2 <sup>nd</sup> International Workshop (Proceedings of IH'98 Portland, Oregon, USA, April 1998); Lecture Notes in Computer Science Volume 1525/1998, D. Aucsmith (Ed.), Springer-Verlag Heidelberg, pp. 111-123, January 1998 |
|  | <input checked="" type="checkbox"/> | Ross J. Anderson, Fabien A.P. Petitcolas, "On the Limits of Steganography", IEEE Journal on Selected Areas in Communications, Vol. 16, no. 4, May 1998, pp. 474-481  |
|  | <input checked="" type="checkbox"/> | Akito Monden, Hajimu Iida, Ken-ichi Matsumoto, Koji Torii, Yuuji Ichisugi, "A Watermarking Method for Computer Programs", Proceedings of the 1998 Symposium on Cryptography and Information Security, Hamanako, Japan, January 1998, pp 1-8  |
|  |                                     | Yuuji Ichisugi, "Watermark for Software and its Insertions, Attacking, Evaluation and Implementation Methods", Summer Programming Symposium, IPSJ, July 1997, pp. 57-64  |

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.